

03-57-c 4613 Rec'd PCT/PTO 26 MAR 2001

FORM PTO-1390 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 29915/6177PCP
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR) 09/806194
INTERNATIONAL APPLICATION NO. PCT/US99/20881	INTERNATIONAL FILING DATE 23 September 1999 (23.09.99)	PRIORITY DATE CLAIMED 24 September 1998 (24.09.98)
TITLE OF INVENTION Alzheimer's Disease Secretase		
APPLICANT(S) FOR DO/EO/US Mark E. Gurney, Michael Jerome Bienkowski, Robert Leroy Heinrikson, Luis A. Parodi, Riqiang Yan		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information		
<div>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371</div> <div>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</div> <div>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</div> <div>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date</div> <div>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))</div> <div>6. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau)</div> <div>7. <input checked="" type="checkbox"/> has been transmitted by the International Bureau</div> <div>8. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</div> <div>9. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</div> <div>10. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210)</div> <div>11. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))</div> <div>12. <input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</div> <div>13. <input checked="" type="checkbox"/> have been transmitted by the International Bureau</div> <div>14. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</div> <div>15. <input type="checkbox"/> have not been made and will not be made.</div> <div>16. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))</div> <div>17. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</div> <div>18. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</div> <div>19. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</div> <div>20. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</div> <div>Items 13 to 20 below concern document(s) or information included:</div> <div>21. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98</div> <div>22. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included</div> <div>23. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</div> <div>24. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment</div> <div>25. <input type="checkbox"/> A substitute specification</div> <div>26. <input type="checkbox"/> A change of power of attorney and/or address letter</div> <div>27. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</div> <div>28. <input checked="" type="checkbox"/> Other items or information</div> <div>Sequence Listing Diskette & Statement of Sequence Listing</div>		

S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER

09/806194

PCT/US99/20881

29915/6177PCP

21. The following fees are submitted

CALCULATIONS PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1,000.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO. \$860.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO. \$710.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	153 - 20 =	133	x \$18 00	\$2,394.00
Independent claims	14 - 3 =	11	x \$80 00	\$880.00

Multiple Dependent Claims (check if applicable).

☒

\$270.00

TOTAL OF ABOVE CALCULATIONS =

\$4,404.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

☐

\$0.00

SUBTOTAL =

\$4,404.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

+

\$0.00

TOTAL NATIONAL FEE =

\$4,404.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

☐

\$0.00

TOTAL FEES ENCLOSED =

\$4,404.00

Amount to be:
refunded

\$

charged

\$

☒ A check in the amount of **\$4,404.00** to cover the above fees is enclosed

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **13-2855** A duplicate copy of this sheet is enclosed

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

David A. Gass
Marshall, O'Toole, Gerstein, Murray & Borun
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606


SIGNATURE

David A. Gass

NAME

38,153

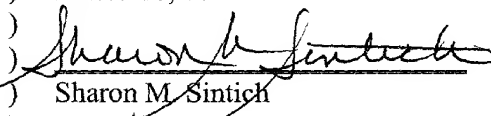
REGISTRATION NUMBER

3/26/01

DATE

PATENT
Attorney Docket No. 29915/6177PCP

IN THE PCT UNITED STATES RECEIVING OFFICE

Applicants: Gurney et al.) "EXPRESS MAIL" mailing label No.
Int'l App. No.: PCT/US99/20881) EK657824995US
Filed: Herewith) I hereby certify that this paper and all
For: ALZHEIMER'S) documents referred to therein as being
DISEASE SECRETASE) enclosed are being deposited with the
United States Postal Service
"EXPRESS MAIL POST OFFICE TO
ADDRESSEE" service under 37
C.F.R. §1.10 addressed to: BOX PCT,
Commissioner for Patents,
Washington, D.C. 20231, on this date:
March 26, 2001

Sharon M. Sintich

PRELIMINARY AMENDMENT

BOX PCT
Commissioner for Patents
Washington, DC 20231

Sir:

Prior to calculating the filing fee and substantive examination, please amend the application filed herewith as follows:

IN THE SPECIFICATION

Please replace the paragraph starting at page 16 line 10 with the following rewritten paragraph:

--Figure 5: Figure 5 shows the BestFit alignment of the predicted amino acid sequences of Hu-Asp2(a) (SEQ ID NO: 4) and murine Asp2(a) (SEQ ID NO: 8).--